

System Procedures Document

**INTEGRATED ACQUISITION SYSTEM (IAS):
SYSTEM PROCEDURES DOCUMENT
FOR IAS RELEASE 2.5**



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1.0 INTRODUCTION

1.1 Purpose of Document

The Integrated Acquisition System (IAS) is a web-based procurement management system which has a real time interface to the Foundation Financial Information System (FFIS). This document presents system procedures on the usage of IAS.

1.2 Scope of Document

This document describes the transactions supported in IAS and how to determine which procedures to follow under given business circumstances. **The document does not provide step-by step instructions on how to complete transactions in IAS, unless it is pertinent to completing a transaction according to system business rules.** Users should refer to IAS training materials for detailed instructions on system usage. IAS training materials can be found on AgLearn at <http://www.aglearn.usda.gov/> or on the IAS portal site at www.ias.usda.gov.

1.3 Updates to Document

This document will be updated for each IAS release, as functionality is added or system business rules change. This version of the IAS System Procedures Guide details system procedures for IAS version 2.5. The document is owned by the Procurement Systems Division (PSD) of the Office of Procurement and Property Management (OPPM), and will be updated by PSD. It will be posted for reference at www.ias.usda.gov.

The need for updates to this document can be driven from the following events:

1. System upgrades and enhancements
2. Federal changes in policy
3. USDA specific changes in policy
4. Natural evolution in system business rules based on usage of the system
5. Requests from end users (e.g. from the End User Forum, IAS Steering Board, or IAS Business Process Sub-committee)

Potential changes to this document will be reviewed at a minimum by PSD and the IAS Business Process Subcommittee and by and other groups, as necessary. In order to process a change, a brief issue paper will be created by PSD including identification of all parties required to review and approve a proposed change to the document. These parties could include:

1. IAS Business Process Subcommittee
2. Integrated Acquisition System Steering Board (ISB)
3. Office of Procurement and Property Management (OPPM) Procurement Policy Division (PPD)
4. Office of the Chief Financial Officer (OCFO) Associate Chief Financial Officer for Financial Systems (AFCO-FS)
5. OCFO Associate Chief Financial Officers for Financial Operations (ACFO-FO) and Financial Policy and Planning (ACFO-FPP)
6. Agency Heads of Contracting Activity
7. Other policy making entities, as required
8. Executive Management

Each required change (or set of changes) will include a determination of the specific stakeholders and approval pathway. The changes approved for a new version of this document will be tracked in the document revision history.

1.4 Revision History

Revision History

UPDATED BY	UPDATE	DATE
PSD-CM	Original draft. Created for IAS Release 2.2	July 2004
PSD-CM	Applied edits and updates per agency requests and additional data gathered from pre-release testing of IAS 2.2. Agency edit requests and their status tracked in edit request matrix available from PSD.	September 2004
PSD-MJ	<p>Edited Type 60 instructions based on IAS release 2.3</p> <p>Clarification to section 8.2</p> <p>Added section 2.2.2.5</p> <p>Added sections 2.2.4 and 2.2.4.1</p> <p>Added section 11.0</p> <p>Added section 7.4.2.1</p> <p>Added section 7.11</p> <p>Included updated Appendix A</p>	December 2004
PSD-MJ	<p>Update to section 2.1.5 based on CR # 397 – update allows NRCS to use PLCF for Wetlands Reserve awards</p> <p>Deleted section 2.2.2.5 which prohibited NRCS users from entering Wetlands Reserve awards into IAS.</p> <p>Updated section 3.3.1 to include IQ Commit/No-Commit separation on document headers.</p>	March 2005
PSD-JD	<p>Added Section 7.1.3 regarding Document History</p> <p>Updated section 7.1 regarding Tolerance Policy</p> <p>Updated section 7.14.1 reflecting new Tolerance Policy</p> <p>Updated section 9.3 regarding optional use of 838B.</p>	May 2005

	Updated section 6.1 regarding the Requestor field	
PSD-LH	<p>Added section 6.4 regarding Hanging Commitments</p> <p>Updated section 7.5 regarding Hanging Commitments</p> <p>Added section 8.8 regarding backdated Receipts</p> <p>Added section 6.1.3.1 on OSDBU</p> <p>Updated section 7.6.3 regarding modification of accounting codes</p> <p>Updated section 6.2.2 regarding modification of accounting codes</p>	May 2005
PSD-CM	<p>Added Section 9.2 regarding Recurring Payments</p> <p>Added section 7.5 regarding Recurring Payments</p>	May 2005
PSD-JD	<p>Updated section 6.1 regarding "Add One-Time Address" functionality</p> <p>Added section 6.5 regarding Buyer Assignments</p> <p>Updated section 8.7 regarding receiver proxy functionality</p> <p>Added section 8.3 regarding default receiving Unit of Measure (UOM)</p> <p>Updated section 9.4 on enhanced Invoicing module functionality</p> <p>Updated sections 8.8 and 9.1 regarding Prompt Pay enhancements</p> <p>Updated section 7.11 regarding EFT compliance and Inactive Vendors in FFIS</p> <p>Added section 10.0 on Error Management.</p>	January 2006

2.0 SCOPE OF INTEGRATED ACQUISITION SYSTEM: SUPPORTED TRANSACTIONS

The Integrated Acquisition System (IAS) is to be used to support the procurement process at USDA. This section defines the transactions which are supported in IAS, as well as those transactions which are specifically prohibited in IAS.

2.1 IAS-Supported Acquisition Types by Funding

2.1.1 Scope

IAS supports acquisitions that are based on administrative funds **only**, with the exception for program loan funds as described below.

2.1.2 Definition of Administrative Funds

In this context, administrative funds refers to those funds which a) are designated as available for use to support agency operations and b) are not appropriated for legislatively-mandated programs.

The *only* exception to this restriction is if 1) all administrative buys are made with program funds specifically identified and authorized for administrative purposes, 2) those funds are managed in the Foundation Financial Information System (FFIS) (see below), and / or 3) those transactions have been specifically identified as being eligible for entry in IAS.

2.1.3 Use of Program Funds

Transactions based on program funds can be entered in IAS **only** if those funds are managed in FFIS or if the transactions have been specifically identified as being eligible for entry in IAS.

2.1.4 Funds Managed In Systems Other than FFIS

IAS cannot apply controls to funding in systems other than FFIS, and no interfaces to financial systems other than FFIS are under consideration.

2.1.5 Use of IAS for Program Loan Cost Fund (PLCF) Transactions

As of the IAS v2.3 release, PLCF must be entered into IAS for:

- RD (program fund transactions)
- NRCS for Wetlands Reserve Fund awards

and **can** be entered into IAS (if agency other than RD or NRCS). These are procurements made according to FAR rules and funded by program funds that either need to be managed via direct entry in FFIS for some various business reasons. It is understood that these funds are managed directly in FFIS per the decision of ACFO-FS to support direct entry of PLCF transactions for RD. **Other agencies hoping to use this functionality in future will need to make FFIS direct entry arrangements with ACFO-FS prior to use of this functionality.** The selection of the transaction code 'IQ – Program Loan Cost Funds' will ensure that the requisition gets routed through IAS without being sent to FFIS. This transaction code is verified per agency, if an agency attempts to use this transaction code and has not received approval to use this functionality, the transaction will reject. These requisitions are routed through IAS using pre-existing workflows unless otherwise directed.

The following transactions will not be supported by IAS:

- PLCF transactions that are purely non-contractual (e.g., tax payments)
- Any other procurements funded by PLCF that are managed through systems other than FFIS

NOTE: Originally, the PLCF design in IAS was created to support transactions used by RD and FSA in PRCH. This IAS functionality, however, can support **any** type of contractual transaction which you may want to enter in IAS for reporting and document creation purposes but which you do not want to send directly to FFIS because the funds are not managed in FFIS or because they need to be entered via direct entry for a legitimate business reason. For example, NRCS has implemented this functionality for use of creating awards for the Wetlands Reserve Fund.

The PLCF transaction will be used in IAS for:

- Creation of appropriate requisition, solicitation and award documents
- Creation of FPDS-NG record

In the case of PLCF awards, IAS will NOT be used for:

- Creation of commitment in FFIS – Users should follow agency procedures relating to direct entry of commitment in FFIS, if required
- Creation of obligation – Users should follow agency procedures relating to direct entry of obligation in FFIS, if required
- Receiving – Users should follow agency procedures for FFIS entry of receiver documents, if required
- Invoice entry - Users should follow agency procedures for FFIS entry of payment vouchers, if required

2.2 IAS Supported Acquisition Documents

IAS supports the creation and management of multiple acquisition types with associated documentation.

2.2.1 Appropriate Uses of IAS Requisitions

Requisitions shall be created and routed in IAS. Requisitions should cover only those goods or services which are to be purchased by agency acquisition management staff and which will generate an award / contract award, for example, a Purchase Order, Delivery Order, etc.

For the purposes of this document, the phrase “acquisition management staff” should be taken to mean those individuals who are Purchasing Agents / Contracting Specialists / Contracting Officers / Supervisory Contracting Officer, who are warranted to conduct procurement actions on behalf of the government.

2.2.2 Prohibited Uses of IAS Requisitions

Requisitions should not be entered for purposes other than those described above. Prohibited requisition types include but are not limited to the following areas.

2.2.2.1 Funds control for micro-purchases on purchase cards

If a purchase card is to be used as the payment mechanism, a requisition should not be created in IAS if it is known at the time of requisition that a purchase card will be used for payment. If a requisition is created prior to deciding that a purchase card will be used, the requisition must be cancelled to ensure that funds are not left committed and un-obligated. See below for Business Rules relating to Modifying a Requisition. Please see Requisition Module training materials on AgLearn at <http://www.aglearn.usda.gov> for specific ‘how to’ instructions.

2.2.2.2 Requests for internal training delivery

Requests for any training delivered by agency resources, as opposed to training delivered by contract staff whose services are obtained by a procurement), is prohibited.

2.2.2.3 Space requests or other space-related issues

Furniture requests (including moving) that will not be purchased by acquisition management / procurement office under Federal Acquisition Regulations (FAR) procedures (e.g. Unicom purchases) are prohibited in IAS.

Requests for real property to be acquired via GSA Leases through lease agreements is prohibited in IAS. However, rent payments or other requests to be paid as part of those lease agreements **can** be processed in IAS.

2.2.2.4 Requisitions related to grants and agreements

Requisitions related to Grants and Cooperative Agreements are not to be entered in IAS.

2.2.3 Solicitation Documents

All solicitation documents shall be generated from IAS.

2.2.4 Clauses in IAS

Standard FAR clauses are supported by IAS. These clauses are provided and maintained by the COTS vendor. If there is a gap in time between need for use of a clause and its entry into IAS, you may manually insert the clause directly into your document once it has been generated in IAS.

AGAR clauses can also be supported in IAS but must be provided to the IAS Help Desk by USDA personnel. They are not automatically updated by the COTS software vendor.

2.2.4.1 USDA agency specific clauses

USDA agencies may create their own agency-specific clause templates as bounded by FAR guidance. If using these, they are to be provided to the IAS Implementation team during the Data Gathering phase or, in the post implementation period, these clauses should be provided to the IAS Help Desk. These templates will be reviewed by the Procurement Policy Division (PPD) and, if appropriate, will be loaded into the system. Agency specific clause templates are not maintained by the COTS vendor and are to be maintained by the agency, reviewed by PPD, and added to IAS via the Help Desk as clause updates are made available. Once loaded in IAS, the agency-specific templates can be made available to your agency or to all IAS acquisition users.

2.2.5 IAS Supported Order Types

The following order types shall be generated by IAS:

- Purchase Orders
- Delivery Orders
- Task Orders
- BPA Calls

2.2.6 IAS Order Association with Contracts

Delivery and task orders can be associated with the governing contract whether it originated in IAS or not – this would include GSA contracts or other USDA or federal agency contracts.

2.2.7 Contracts and Blanket Purchase Agreements (BPAs)

All contract types specified by the FAR shall be generated from IAS. IAS includes the FAR matrices and supports user selection of appropriate clauses.

2.2.8 Modifications

Amendments to solicitations and modifications to contract awards (e.g. orders and contracts) originating in IAS should also be entered in IAS.

2.2.9 IAS Forms Support

When generating order or contract documentation, users may select from the appropriate federal standard and optional forms. For instance, purchase orders can be generated using OF-347. IAS does not generate orders in the format of form AD-838. A class deviation permitting use of the OF 347 and the OF 348 in lieu of the USDA Form AD-838, by IAS users was authorized by the USDA Senior Procurement Executive on August 15, 2002.

2.3 Other Transactions Prohibited in IAS

2.3.1 Inter-Agency Agreements / Payments

IAS is not to be used for the creation or maintenance of interagency agreements or any other activities that are paid for via Intragovernmental Payments and Collection System (IPAC) transfer of funds between government entities. This includes UNICOR – Federal Prisoner Orders paid for via IPAC or other transfer of funds. These transactions should be processed in applicable systems currently used today.

2.3.2 Grants

IAS is not to be used for any purpose associated with the documentation or award of grants.

2.3.3 Advance Payments

This section will be addressed in a future update. Please direct all questions regarding this topic to your agency implementation lead.

2.3.4 Foreign Currency

Acquisitions with foreign currency payments should not be processed in IAS. In order to complete any of these transactions that are prohibited in IAS, documentation should be generated manually externally to IAS and funds management should be undertaken via direct entry into FFIS.

2.4 OSDBU Procurement Review

Review of requisitions or awards by the Office of Small and Disadvantaged Businesses (OSDBU) is an offline process which is handled outside of IAS. In accordance with Departmental Regulation 5090-1, acquisitions over the simplified acquisition threshold not set-aside for small business participation must be reviewed by the agency Small Business Coordinator and forwarded to the Director, Office of Small and Disadvantaged Business Utilization (OSDBU) and the SBA Procurement Center Representative for review prior to solicitation. A representative for OSDBU can be appointed by each agency or office. That representative selects transactions in IAS that may be of interest or concern to OSDBU and forwards the information to the OSDBU office. This can be handled through a report in IAS or through a manual review of all awards processed in the system. OSDBU will review and either approve the transaction or reject and request action from the agency.

Exemptions

- a. Contract requirements offered to Javits-Wagner-O'Day participants,
- b. Requirements to be awarded pursuant to FAR 6.302-2 through FAR 6.302-6
- c. Requirements under the Empowerment Contracting Program are exempt from the small business clearance process,
- d. Non 8(a) awards covered by the Small Business Competitive Demonstration Program (FAR 19.10), or
- e. Delivery/task orders over \$100,000, when the order is being placed against a mandatory contract by organizations required to use the contract.
- f. Delivery/task orders over \$100,000 when placed against a non-mandatory contract held by a small business.

3.0 ACCOUNTING STANDARDS IN IAS

IAS has been configured, with the interface to FFIS, to support commitment accounting standards for transactions completed in the system, per guidance from the USDA Office of the Chief Financial Officer.

This section covers the use of commitment accounting, invoice matching standards, and year end processes in IAS.

3.1 Definition of Commitment Accounting

Commitment accounting in IAS is the reservation of funds at the time that requirements are approved. When a budget officer or funds holder approves a requisition, a commitment document is created in FFIS that draws down funds from the specified accounts (this is also known as a draw-down commitment).

3.2 Application of Commitment Accounting

Commitment accounting will be applied to all transactions in IAS other than the three specific transaction types identified below.

3.3 Exceptions to Commitment Accounting Standard

The following transactions are exempt from commitment accounting standards in IAS: requisitions subject to availability of funds, program loan procurement requisitions, and requisitions for ratification action (for prior year transactions).

3.3.1 Requisitions subject to availability of funds

These requisitions specify requirements for which funding still has to be identified. They can be completed for current year requirements depending on the management approach for the procurement in question.

If a requisitioner wishes to complete a requisition for a future year requirement, and the requisition will be paid for with future, single year funds, the requisition **must** be completed as “subject to availability of funds,” or it will be rejected by the financial system. This is accomplished by associating the requisition line items to the IQ-NOCOMMIT transaction code in IAS.

Other examples of instances when this transaction type can be used include operating under a continuing resolution without funds or entering option year line items in a requisition. If funds have been released under continuing resolution for obligation, then the standard approach for committing and obligating funds should be used.

NOTE: The requisition and corresponding award document must be modified in order to change the transaction code when you want to obligate the line item(s). Please refer to Requisition and Acquisition module training materials for “Modifying a Requisition” for instructions on how to complete this type of modification.

3.3.1.1 Subject to availability of funds flag

The acquisition module has a checkbox which will automatically flag line items as “Subject to the Availability of Funds” if that line item has a transaction code of IQ-No-commit on the associated requisition(s). This checkbox is located with the accounting information for each line item. Additionally, when looking at the award header information, **all** line item amounts will be included in the ‘Total Amount’ while only committed/obligated line items will show in the ‘Obligated Amount.’ If the total and obligated

amounts differ, it will mean that the award still has line items that are Subject to the Availability of Funds. Both of these system measures are taken to remind procurement staff that the award has line items which may need a future action.

When funding becomes available, the requisition should be modified to change the line item status to IQ-Commit and enter appropriate accounting codes on the line items which you would like to exercise. The award will need to be modified to pull in the modified requisition which will remove the 'Subject to the Availability of Funds' checkbox.

3.3.2 Requisition for Ratification Action

Requisitions are required for all ratification actions. The funding for the ratification, however, determines whether the IQ-COMMIT or IQ-NOCOMMIT transaction code should be used. If a ratification is to be paid for with prior-year annual funds, the IQ-NOCOMMIT transaction code should be used on the requisition. This is due to FFIS controls which will not allow commitments to be placed against prior-year funds. If a ratification is to be paid for with current year annual funds, the IQ-COMMIT transaction code should be used on the requisition. In each case, once completed, the requisition should then go through the standard approval process. Then, the Contracting Officer who is to administer the ratification action can process accordingly. (For a further explanation of processing ratification actions by a Contracting Officer after receipt of a requisition, please see 7.6 Ratification Actions).

3.4 Invoice Matching Standards

3.4.1 Three way match

All invoices in IAS are subject to a three way matching requirement. This requires that the invoice must match the receipt(s) in the system as well as the obligated funds for the purchase, as captured in the system. There are no exceptions to this rule per USDA financial policy for transactions initiated in IAS. The total of the invoice cannot exceed the total amount receipted or the total amount obligated. The values matched are units but more importantly dollars.

IAS permits partial invoicing but still requires a three way match – for example, if a vendor submits an invoice for two (2) units out of a total order of five (5) units, and there is a receipt for two units, then that invoice can be paid. . IAS has a system control that will not allow the total of all partial invoices to exceed either the total of all receipts or the total obligation of funds.

4.0 USER ROLES IN IAS

This section provides a brief definition of what each user role in IAS entails. For each user role, the following information is provided:

- Definition of role
- Component of IAS used
- Acquisition nature of role
- Financial Management nature of the role.

The document "IAS User roles and FFIS Security Profiles" contains more detailed information about specific FFIS security profiles and separation of duties, and is intended primarily for use during initial rollout of the system at an agency or for setup of new users by the IAS program office and agency FFIS Security Administrators. It is attached to this document as Appendix A for further reference.

Please note: The names here are not intended to take the place of agency designation of roles within agency job descriptions or organizational structures. However, a common naming framework is required to streamline management of the system and all its associated users. All users will map to one (or sometimes more than one) of these roles based on their responsibilities in the system, regardless of agency job naming convention.

4.1 Roles Available to Agency Users

4.1.1 Requisitioner

4.1.1.1 Definition of Role

The requisitioner creates and submits requisitions in IAS only for management and funds approval. It should be noted that other agency staff may still be allowed to complete hard-copy requisitions but must then forward that information to someone who is designated as an IAS requisitioner and who can then enter the requisition into the system. The requisitioner should also include any required supporting electronic documentation for the requisition, when required and when the supporting materials are available electronically. In addition, the requisitioner can modify unapproved requisitions. Typically, requisitioners will also be responsible for entering receipts in IAS, however, this is contingent on whether this responsibility is granted in the user's FFIS profile.

4.1.1.2 Component of IAS Used

Requisitioners complete their work in the requisition module of IAS.

4.1.1.3 Acquisition Nature of Role

The requisitioner provides requirements upon which the procurement office acts. These requirements are more easily acted upon if they are clear and specific, and if supporting documentation is required. Effort required to clarify requirements adds to the lead time for award. Each line item on an award with obligated funds must have a corresponding line item on a requisition. (This means that option years which are not funded at original award do not have to be referenced from a requisition.) Therefore, the requisitioner (or someone along the approval chain for the requisition) must structure the line items as closely as possible to that needed by the procurement office.

4.1.1.4 Financial Management Nature of Role

Requisitioners who create requisitions only have no financial role, in that they do not send final transactions to FFIS. If the requisitioner also receives, the financial role is as defined for the receiver role.

4.1.1.5 Other IAS Roles Available for This User Type

As noted above, the requisitioner can also act as a receiver and process receipts.

4.1.2 Requisition Approver

4.1.2.1 Definition of Role

The requisition approver reviews and approves requisitions for program office controls, or for other controls such as IT and Property approvals, as needed. Requisition approvers can amend or reject requisitions that are not completely correct on arrival. This is not a funds approval role; it is a possible role between the Requisitioner and the Budget Approver.

4.1.2.2 Component of IAS Used

Requisition approval is completed in the requisition module of IAS.

4.1.2.3 Acquisition Nature of Role

There is no direct acquisition role for requisition approvers in that they do not directly send award transactions to FFIS and this role is optional as directed by the agency. However, program or management approvers do provide authority to spend funds from accounts they 'own' by approving the requisition. Additionally, specialist approvers such as IT or Property approvers may need to assess the quality of specifications or of waiver documents if they are required before goods or services can be procured. Each line item on an award must have a corresponding line item on a requisition. Therefore, the requisition approver may need to restructure the line items, if needed, to match as closely as possible the line item structure needed by the procurement office.

4.1.2.4 Financial Management Nature of Role

There is no direct financial management component to this role in that requisition approvers (other than Budget Approvers) do not directly send a commitment transaction to FFIS. However, the Requisition Approver can review and edit the chosen accounting codes / funding chosen for each line item (e.g.: the BOC code), if needed before the Requisition is released.

4.1.2.5 Other IAS Roles Available for This User Type

There are no other roles for this user type in IAS.

4.1.3 Budget Approver

4.1.3.1 Definition of Role

Budget Approvers review requisitions to ensure that the funding identified by the requisitioner is correct. They must be the final approver for requisition documents. The budget approver can approve, modify then approve, or reject a requisition on the basis of the funding content. Budget approvers are also able to modify approved requisitions, although it is expected that these modifications would be restricted to funds related issues. Budget approvers are able to cancel approved requisitions, unlike requisitioners who are not. Please refer to section 6.0 for rules regarding requisition cancellation.

4.1.3.2 Component of IAS Used

Budget approvers conduct work in the Requisition module of IAS.

4.1.3.3 Acquisition Nature of Role

There is no direct acquisition role for the budget approver; however, timely processing of approvals, especially for modifications, streamlines document creation and modification times for procurement staff. Additionally, having the funding as correct as possible for acquisition staff reduces the amount of time spent making contract modifications for purely accounting reasons (or time spent processing special vouchers in the financial system).

4.1.3.4 Financial Management Nature of Role

The budget approver's approval of requisition documents triggers the creation of draw-down commitments in the financial system (unless such an action is specifically not taken, such as for requisitions subject to availability of funds, requisitions against future funding, or requisitions to be charged to prior-year single-year funds (e.g. ratifications)). Correspondingly, the budget approver is the first to bring financial management to the pending acquisition. The final approver for a requisition must ensure that the correct accounting / funding is chosen for each line item or that the accounting is split appropriately. The Budget Approver has the authority over the accounting line identified, including the Budget Object Code selected.

4.1.3.5 Other IAS Roles Available for This User Type

Budget approvers can also be commitment error managers, depending on their level of control in FFIS. Budget approvers can be given receiver rights also, at agency discretion.

4.1.4 Commitment Error Manager

4.1.4.1 Definition of Role

The commitment error manager is a budget approver who has been granted system rights to resend and override transactions from the IAS interface error table. This is in addition to their role of budget approver as described above. It is at an agency's discretion whether this role will be required for all or certain budget approvers.

4.1.4.2 Component of IAS Used

In addition to the requisition module of IAS as used for requisition approval, the Commitment Error Manager also is granted access to the IAS error tables in a separate module.

4.1.4.3 Acquisition Nature of Role

The acquisition nature of this role is as described for the Budget Approver role.

4.1.4.4 Financial Management Nature of Role

In addition to the financial management role as described for the Budget Approver, the Commitment Error Manager is able to override errors within their FFIS security profile rights, or to retry transactions that can be resubmitted to FFIS.

4.1.4.5 Other IAS Roles Available for This User Type

Since Commitment Error Manager is assumed to be in addition to the Budget Approver role, there are no additional roles available for this user type. Agencies may choose to select specific budget staff to assume the Commitment Error Manager role or may choose to provide this role to all Budget Approvers. However, if there is a need to have another non-Budget Approver system user complete this role, that can be considered **providing** that the Commitment Error Manager has no authority related to obligations.

4.1.5 Purchasing Agent / Contracting Officer

4.1.5.1 Definition of Role

The Purchasing Agent / Contracting Specialist / Contracting Officer, in IAS, creates acquisition documentation including contract awards and manages acquisitions through their lifecycle. The specific roles and responsibilities are defined by a combination of the user's warrant and specific contracting office practices (for example, the type of acquisitions made, dollar threshold for document release, etc.). Please note that the Purchasing Agent / Contracting Specialist / Contracting Officer may not cancel a Requisition in the IAS Acquisition module as this function must be executed in the Requisition module.

Although all Purchasing Agents / Contracting Specialists / Contracting Officers will have the ability to request vendor creation and updates in the FFIS vendor table, only a subset will be granted access to actually execute the request in the appropriate IAS module.

4.1.5.2 Component of IAS Used

The primary module used by the Purchasing Agent / Contracting Specialist / Contracting Officer users is the acquisition management module. Purchasing Agent / Contracting Specialist / Contracting Officer users who are enabled to make vendor requests will have access to the IAS Core Module for the PVND request form (send requests to add new vendors to FFIS, if appropriate).

4.1.5.3 Acquisition Nature of Role

The Purchasing Agent / Contracting Specialist / Contracting Officer users support the actual procurement process in IAS.

4.1.5.4 Financial Management Nature of Role

Purchasing Agent / Contracting Officer Users create acquisition documents in IAS. Those Purchasing Agents / Contracting Officers who are permitted by warrant and agency-specific rules to self-approve contract award documents (not solicitations) will cause the creation of a funds obligation by releasing a contract award in IAS. These users do not have the right to alter accounting codes as provided from the requisition as these transactions will reject in FFIS.

These users have an ancillary role also in ensuring that invoices which require government approval prior to payment are indeed reviewed and then forwarded to the Administrative Payments Branch (APB) for payment.

4.1.5.5 Other IAS Roles Available for This User Type

Purchasing Agent / Contracting Specialist / Contracting Officer users can also act as an Obligation Error Manager. (Please note that the Supervisory Contracting Officer role incorporates the Purchasing Agent / Contracting Specialist / Contracting Officer user role.)

4.1.6 Supervisory Contracting Officer

4.1.6.1 Definition of Role

The Supervisory Contracting Officer has the same general system role as the Purchasing Agent / Contracting Specialist / Contracting Officer user, with the same definition as Purchasing Agent / Contracting Specialist / Contracting Officer, plus the role of assigning requisitions to Acquisition staff and, as needed, applying final approval to contracts based on factors such as the procurement method or dollar value. The specific managerial roles of the Supervisory Contracting Officer reflect agency policies and procedures.

4.1.6.2 Component of IAS Used

The primary module used by Supervisory Contracting Officer users is the acquisition management module. Purchasing Agent / Contracting Specialist / Contracting Officer users who are enabled to make vendor requests will have access to the IAS Core Module for the PVND request form.

4.1.6.3 Acquisition Nature of Role

The Supervisory Contracting Officer users manage the actual procurement process in IAS.

4.1.6.4 Financial Management Nature of Role

Supervisory Contracting Officer users assign, create, and approve documents, which will cause the creation of a funds obligation by releasing a contract award in IAS. These users have an ancillary role also in ensuring that invoices which require government approval prior to payment are indeed reviewed and then forwarded to the APB for payment.

4.1.6.5 Other IAS Roles Available for This User Type

The Supervisory Contracting Officer can also act as an Obligation Error Manager if that user role is organizationally appropriate and specifically assigned.

4.1.7 Obligation Error Manager

4.1.7.1 Definition of Role

The Obligation Error Manager's system role is to override, retry, or manually reject obligation transactions that were returned from FFIS with a non-fatal error. The Obligation Error Manager can also be given the system rights to request that a new vendor be added to the FFIS vendor table.

4.1.7.2 Component of IAS Used

For specific error management, the Obligation Error Manager uses the Core module of IAS to gain access to the IAS – FFIS Interface Transaction Error tables. If the Obligation Error Manager is also a Purchasing Agent / Contracting Specialist / Contracting Officer or Supervisory Contracting Officer, then the components of IAS used are as defined for those users.

4.1.7.3 Acquisition Nature of Role

The narrow relevance of the Obligation Error Manager role is to identify errors that led to the FFIS rejection of a contract award, so that the contract award can be released and awarded in a timely fashion. The Obligation Error Manager also has a key role to play in the event that obligation cancellation procedures are not correctly followed, so that the IAS contract award and the FFIS funds obligation do not end up in mismatched statuses.

4.1.7.4 Financial Management Nature of Role

The Obligation Error manager ensures that all financial aspects of the obligation that were in error are adjusted to ensure that the financial transaction supporting the obligating procurement document is correct.

4.1.7.5 Other IAS Roles Available for This User Type

The Obligation Error Manager can also be a Purchasing Agent / Contracting Specialist / Contracting Officer or a Supervisory Contracting Officer.

4.1.8 Receiver

4.1.8.1 Definition of Role

The Receiver has the system role of creating and submitting receipts acknowledging receipt and acceptance of goods or services.

4.1.8.2 Component of IAS Used

The Receiver uses the requisition module of IAS to enter receipts.

4.1.8.3 Acquisition Nature of Role

Receipts entered by the Receiver indicate that the goods or services ordered by the government have been received and deemed acceptable. Entry of receipt creates a receiver document in FFIS which permits payment.

4.1.8.4 Financial Management Nature of Role

The requirement that all invoices must be subjected to a three-way match prior to payment means that payment is dependent on entry of receipts by the receiver. The receipts entered by the Receiver liquidate an equivalent amount of the obligated funds, and are also important to Prompt Payment standards as entry of acceptance is compared to date of invoice receipt for calculation of whether there are any prompt payment penalties to be assessed.

4.1.8.5 Other IAS Roles Available for This User Type

Currently all IAS receivers are the Requisitioner who submitted the original requisition.

4.1.9 Payment Status Reviewer

4.1.9.1 Definition of Role

The Payment Status Reviewer has the role of reviewing status of payments in the IAS payment back feed table. This role is available to both APB staff and agency staff.

4.1.9.2 Component of IAS Used

The Payment Status Reviewer uses the core module of IAS to access the payment back feed tables.

4.1.9.3 Acquisition Nature of Role

The Payment Status Reviewer supports the management of vendor relationships by being able to provide feedback on whether payment has been made. The Payment Status Reviewer can also identify payment issues and work with the appropriate staff to resolve those issues promptly.

4.1.9.4 Financial Management Nature of Role

There is no inherent financial management nature to this role; however, the successful use of the back feed table should help to minimize late payments and assist in the identification of incorrect payments for timely resolution.

4.1.9.5 Other IAS Roles Available for This User Type

The Payment Status Reviewer can also be a Purchasing Agent / Contracting Specialist / Contracting Officer or a Supervisory Contracting Officer.

4.2 Roles Not Available To Agency Users

4.2.1 Invoice Entry Clerk

4.2.1.1 Definition of Role

The system role of the Invoice Entry Clerk is to enter invoices and match them to contract awards and receipts. The term “match” in this case means to ensure that the quantities and costs on the invoice are supported by both an obligation and a receipt; the invoice entry clerk cannot make alterations to any document to ensure a match. This role is available **only** to users from the Administrative Payments Branch (APB) of the Controller Operations Division, Associate Chief Financial Officer Financial Operations.

4.2.1.2 Component of IAS Used

The Invoice Entry Clerk will use the Invoice Module of IAS.

4.2.1.3 Acquisition Nature of Role

The Invoice Entry Clerk supports the management and close of contract awards by ensuring that invoices are entered into the system for approval, and by identifying invoices with processing issues which will require resolution prior to payment. Specific resolution of those issues will include multiple individuals and will require activity outside the system to complete.

4.2.1.4 Financial Management Nature of Role

Since the Invoice Entry Clerk enters but does not approve invoices, there is no direct financial management aspect to this user role. However, the timely identification of invoices with issues is a part of ensuring that prompt payment penalties, or inappropriate payments, are avoided.

4.2.1.5 Other IAS Roles Available for This User Type

There are no other IAS roles for this user type.

4.2.2 Payment Approving Officer

4.2.2.1 Definition of Role

The Payment Approving Officer reviews and approves invoices in IAS, and by so doing triggers the creation of a request for payment.

4.2.2.2 Component of IAS Used

The Payment Approving Officer user utilizes the invoice module of IAS.

4.2.2.3 Acquisition Nature of Role

The Payment Approving Officer supports the management and close of contract awards by ensuring that invoices with processing issues which will require resolution prior to payment are properly adjusted.

4.2.2.4 Financial Management Nature of Role

The Payment Approving Officer ensures that payments are made in a timely and accurate fashion to minimize prompt pay penalties, and to ensure that contracts and orders can be closed as appropriate.

4.2.2.5 Other IAS Roles Available for This User Type

The Payment Approving Officer can also act as a Payment Approving Error Manager.

4.2.3 Payment Approving Error Manager

4.2.3.1 Definition of Role

The Payment Approving Error Manager role incorporates the Payment Approving Officer role with the addition of the capability to review and manually reject or retry approved invoices that were returned from FFIS with a non-fatal error.

4.2.3.2 Component of IAS Used

The Payment Approving Officer user utilizes the invoice module and error management tables of IAS.

4.2.3.3 Acquisition Nature of Role

The Payment Approving Error Manager supports the management and close of contract awards by ensuring that invoices with processing issues that will require resolution prior to payment.

4.2.3.4 Financial Management Nature of Role

The Payment Approving Error Manager ensures that payments are made in a timely and accurate fashion to minimize prompt pay penalties, and to ensure that contracts and orders can be closed as appropriate.

4.2.3.5 Other IAS Roles Available for This User Type

There are no other roles for this user in IAS.

4.2.4 Interface Manager

4.2.4.1 Definition of Role

The Interface Manager has the role of managing operations of the interface, including maintaining agency cross reference, maintaining Lookup Codes, managing the FFIS Interface Control, etc. This role is not available to agency users as it is provided as system support by the Procurement Systems Division (PSD).

4.2.4.2 Component of IAS Used

The Interface Manager utilizes the core module of IAS.

4.2.4.3 Acquisition Nature of Role

There is no acquisition component to this user role.

4.2.4.4 Financial Management Nature of Role

There is no financial management component to this role.

4.2.4.5 Other IAS Roles Available for This User Type

There are no other IAS roles available to this user type.

5.0 DOCUMENT NUMBERING

5.1 Overview of Document Numbering in IAS

Document numbering in IAS conforms as required to the revised USDA document numbering scheme, which in turn complies with document numbering requirements for FPDS-NG.

The USDA numbering scheme applies to the following documents:

- Solicitations, Requests for proposal, requests for quote, requests for information
- Purchase Orders
- Delivery and Task Orders
- Contracts
- Blanket Purchase Agreements (BPAs)
- BPA Calls

The numbering scheme is not applied to the following documents:

- Requisitions (unique numeric identifier applied automatically by the system)
- Advance Acquisition Plans (manually numbered by end user)
- Milestone plans (manually numbered by end user)
- Receipts (unique numeric identifier applied automatically by the system)
- Invoices (vendor invoice number entered by invoice clerks)

5.2 Document Numbering Scheme

The document numbering scheme for procurement documents is a 13 character identifier (not including hyphens). The scheme was designed to both conform to FPDS-NG requirements as well as to be compatible with FFIS document number lengths (in order to streamline document tracking, requisition and obligation documents in FFIS have a truncated version of the IAS document number).

The scheme can be read as follows:

AG-31ME-P-04-1234

Segment	Sample Value	Definition
1	AG	Identifies the transaction as originating from USDA to FPDS-NG. This segment is truncated (along with the hyphens) from the document number when it is sent to FFIS.
2	31ME	This is the four character GSA location code, chosen for the issuing office
3	P	Procurement document type: in this case, Purchase Order
4	04	Fiscal Year
5	1234	Unique numeric identifier assigned by the system. Each document type is numbered separately for each procurement office.

The document type codes are as follows:

DOCUMENT TYPE	CODE	PRCH TRANSACTION REPLACED
Solicitation (includes RFP, RFQ, RFI)	S	Not applicable
Purchase Order	P	40, 42
Delivery/ Task Order	D	41, 43

Contract / BOA	C	50, 53, 54, all other 5x types
BPA	B	45
BPA Call	K	45

6.0 REQUISITIONS

Requisitions entered into IAS define the requirements for a procurement and provide supporting information. Unless a requisitioner specifically selects the option of not committing funds, making the requisition subject to availability of funds, final approval of the Requisition triggers a funds commitment in FFIS.

6.1 Creation and Approval of Requisitions

Requisitions can originate in hard copy from anywhere in the agency but must be routed to a requisitioner in IAS for the creation of a funded requisition that the procurement community can act on.

At a minimum, the requisition must include item descriptions, delivery locations, accounting information (accounting codes and distributions as applicable), additional electronic attachments or information, and an approval chain. Further, requisitioners should include a statement of work and desired deliverables, if applicable. Additional detail on each of these components is included below.

As of the IAS v2.5 release, users cannot use the "Add a One-Time Address" functionality in the Requisition Module.

6.1.1 Item Descriptions

Item descriptions provide information on the goods or services required. Descriptions include how the items are bought (in units), verbal descriptions, government estimate of price, quantity desired, and so on. The system allows users to enter a suggested vendor but unless the requisition refers to a mandatory contract (e.g., an agency-wide IT hardware contract) the suggested vendor is for the information of the Purchasing Agent / Contracting Officer.

IAS does not support negative line items to capture trade-in items and / or special discounts. In the case that a requisitioner wants to trade-in old equipment, they should notify the Contracting Officer separately. Negative line items will cause requisitions to reject in FFIS.

Requisitioners should note that the structure of the ordering document is driven by the structure of the requisition, as the requisition line data is pulled into the ordering document to ensure that the accounting is correct and document referencing is intact.

Requisitioners are advised to work closely with their Purchasing Agent / Contracting Officer, especially for more complex procurements, to ensure that the structure of the requisition is suitable. As of the IAS v2.5 release, requisitioners will have the ability to view the name, email, and phone number of the Purchasing Agent/Contracting Officer who has been assigned the requisition. This information will be automatically updated in the Requisition Module in cases where the Purchasing Agent/Contracting Officer is changed. Please review section 6.5 for further information on Buyer Assignment functionality.

IAS allows the attachment of additional electronic files to support the requisition. This capability can be used to attach waivers, sole source justifications, detailed requirements, etc. for use by approvers and the Purchasing Agent / Contracting Officer. Requisitioners are encouraged to use this capability to consolidate electronic documents that support the pending procurement.

Both requisitioners and approvers should note that the processes for making accounting changes to open obligations through IAS requires their participation for every instance in modifying and approving requisition modifications, and that it creates significant work for Purchasing Agents / Contracting Officers in modifying ordering documentation.

This is the case for the following reason: If an accounting modification is required, the Contracting Officer can not make the change unilaterally. This means that the requisitioner must create a duplicate line item with the new accounting data, send that requisition for approval, and then inform the Contracting Officer that the new data has to be added. The Contracting Officer then has to create a modification to contract, disassociate the requisition at the line level, pull in the new information from the new requisition, and release the contract modification. If accounting changes are required for all lines, or repeatedly, the Contracting Officer will have to put in significant work to make all those changes via contract modification.

As for item descriptions or any similar non-accounting change, no requisition change is required, and the requisitioner can make the request by a separate document.

6.1.2 Size of Requisitions / Splitting Requirements Over Multiple Requisitions

The only systemic limit on the size of a requisition is that it can contain no more than 999 lines of accounting, which is the upper limit of a document size in the financial system. Since many requisition item lines have split funding, it is probable that that limit could be reached in far fewer than 999 item lines.

Additionally, for option years, it may not be appropriate to include all possible lines on an initial requisition. Since accounting transaction codes are controlled at the requisition document level, any option year lines would result in current year funds being committed – and these commitments would not carry over to the next fiscal year. Accordingly, option years are probably better managed via separate requisitions.

Requisitions in IAS should contain all relevant line items to ensure that there is no appearance of splitting requirements. There may be limited instances where requisitions for large contracts, due to complex funding, cannot be completed as a single document for the reasons outlined above. In order to ensure that it is clear that a second requisition is being completed solely for this reason; requisitioners should indicate that the requisitions are related. This can be achieved by using the requisition description field, or by using the notes fields. The requisitioner should also provide written indication to the Contracting Officer of which requisitions are related.

6.1.3 Addition of Approvers

When IAS requisitioners are configured, the standard configuration is two approvers: a program office approver (such as a project manager) and a budget officer or funds holder. Additional approvers, such as property staff, IT analysts, and others can be added to the approval list on an ad hoc basis provided that they are already loaded in the system. Please note that these approvers will have edit access to the document.

However, the last default user (budget officer) **must always** be left as the final approver for the requisition. The approval by this individual triggers the system workflow that sends a commitment transaction to FFIS and if that final approver does not have the correct FFIS security profile, the commitment transaction will suffer a fatal error. No funds will be committed, and the requisition will show as being disapproved in IAS. This will mean that the requisitioner would need to copy the rejected requisition and resubmit it through the approval process as a new requisition.

6.1.4 Managing Documents Rejected by FFIS

Budget approvers who also are Commitment Error Managers will be able to view rejected commitment transactions in the IAS Interface Error Table. This table shows all commitment documents rejected by FFIS, with the primary rejection reason listed first. The requisitioner should consider notifying their budget officer or funds holder if a requisition they created was approved by that individual but is listed with a status of “pre-approved” in IAS for an extensive amount of time, as this may indicate that there was a document error which requires resolution, or that there has been some issue with the interface.

If a document is returned with an over-rideable error, the Commitment Error Manager can retry the document as an override from the error table. Alternately, the document can be rejected from the error table by the Error Manager. The requisitioner can then edit and retry the document.

If the document has a single fatal error, then it cannot be retried from the error table. If the requisition was new, then it can be changed by the end user and resubmitted through the approval process. If this is the case it is assumed that either the budget approver will change the accounting element in IAS that caused a reject or update the budget element / funds in IAS accordingly to ensure that the document will process correctly the second time. Other, non-accounting related errors, may need to be called into the IAS Help Desk for resolution.

6.2 Modification of Requisitions

Requisitions can be changed for a variety of reasons. The business rules governing modifications to requisitions are driven by whether or not the requisition has been referenced by an ordering document. The reason that referencing is a critical factor in what procedures for modifying requisitions are followed is the need to maintain document consistency with FFIS and to ensure that FFIS documents can be updated accordingly.

Please note that if an initial requisition is structured in a given way (e.g., a single line item for a lump sum payment for services) and the contract varies in a way that affects funds (e.g., the vendor proposes lines for progress payments / performance), the requisition will have to be modified, or a new requisition created to replace the old one (which should be cancelled).

6.2.1 Modification of Approved, Unreferenced Requisitions

Requisitions that have been approved with the subsequent creation of a funds commitment but have not been referenced by a contract award can be changed by a requisitioner and resubmitted through the approval process.

In the event that a requisition did not commit enough funds for an obligation (i.e., the government estimate was too low), the requisition will require modification to the appropriate dollar amount before the contract award can be released.

In the event that the vendor quotation for a requisition is lower than the estimated cost used to create the requisition, and therefore the commitment, the Contracting Officer should inform the requisitioner and the requisitioner should modify the requisition to reflect the new lower cost. Once the requisition modification has been cleared through FFIS, the updated data should be available to the Contracting Officer shortly thereafter for creating award documentation. Please note that once the obligation is released, it is no longer possible to process a commitment modification for a **decrease** in funds through IAS and a special voucher (SV) document must be processed in FFIS.

6.2.2 Modification of Approved, Referenced Requisitions

In order to modify a requisition that has already been referenced by a contract award (e.g., a purchase order, contract, etc.) procedures vary based on whether the commitment of funds for the requisition has been completely liquidated or not and on what information needs to be changed.

If an order has been released that only partially liquidated (obligated) the commitments, then the requisitioner can modify the requisition and send it through the approval process to support modification of the contract award.

If an order has been released where the commitment has been fully liquidated (obligated) and a change is required, the Purchasing Agent / Contracting Officer will have to initiate a contract modification, and disassociate the requisition from the contract award by modifying the item lines in question. The requisitioner should then copy the line item requiring changes to a new requisition, change the accounting

details, and submit through the approval process. Once the requisition is approved, then the Contracting Officer can then modify the line item on the ordering document again to associate with the new requisition line, and release the contract modification to obligate the funds.

Please note, however, that once an obligation has been liquidated through full receipt, it is no longer possible to modify that obligation unless the receipt is returned first. Any accounting changes required after the obligation has been liquidated in FFIS shall be completed by processing a standard voucher (SV) document in FFIS. Once an invoice has been processed for an obligation document the accounting codes may not be changed on the obligation document or its associated requisition. This is true whether the invoice is for full or partial payment of the obligation.

6.3 Cancellation of Requisitions

The business rule for canceling requisitions depends on whether the requisition has been completely approved and funds have been committed.

6.3.1 Cancellation of Unapproved Requisitions

If a requisition is in the approval process and no funds have been committed, it can be cancelled by the requisitioner as needed.

6.3.2 Cancellation of Approved Requisitions

If a requisition has been approved and funds have been committed, then a requisitioner cannot cancel a requisition himself/herself. The cancellation would be rejected by FFIS because of an incorrect user security profile. The requisitioner, in this case, must contact the budget approver / funds holder and have that individual cancel the requisition. Also, please note that Requisitions cannot be cancelled in the IAS acquisition module (PRISM); they can only be cancelled in the requisition module (iProc) following the process mentioned above. Additionally, modified requisitions cannot be cancelled in the acquisition module. In the event that an agency wants to cancel the base version of a modified requisition that has been, or will be, processed for award, the IAS help desk should be contacted.

The automated cancellation of requisitions noted in Section 10.0 Year-End Procedures only de-commits funds after year end. It is incumbent on requisitioners and budget approvers to track the status of requisitions with committed funds and act promptly to cancel requisitions if the funds are to be committed for use on another procurement.

6.3.3 Cancellation of Referenced Requisitions

If a requisitioner needs to cancel a requisition that has been partially or fully awarded, then they must contact the Purchasing Agent or Contracting Officer who made the award. The Purchasing Agent or Contracting Officer will then advise on whether the award can be cancelled and procedurally at what time to cancel the requisition in IAS. Please note that the obligation must be cancelled first before the requisition may be cancelled. If possible, the balance of the requisition should be cancelled before any receipt is entered in IAS. Once receipt is entered in IAS, it is no longer possible to modify the requisition.

Notification to the Contracting Officer should NOT be undertaken using another requisition as the system does not support use of requisitions for messaging purposes. This request should be relayed via other inter-office communication (email etc.).

6.4 Automated Closure of Hanging Commitments

With release 2.4, IAS provides a way to eliminate hanging commitments in the application. If an award document (obligation) is marked as final by the CO, all funds committed by the requisition but not obligated by the award will be released (de-committed) to be used for other purchases.

6.5 Buyer Assignments

Once a requisition has been approved by the Budget Approver or funds officer and funds are committed in FFIS, the requisition is automatically assigned to a Purchasing Agent/Contracting Officer and available within the acquisition management module. During an agency's implementation phase specific rules are created and loaded into IAS that dictate how requisitions are automatically assigned to various Purchasing Agents/Contracting Officers within a particular agency. These are called "Buyer Assignment Rules." After the requisition has been automatically assigned by the system to a particular Purchasing Agent/Contracting Officer, the requisition may be re-assigned to another Purchasing Agent/Contracting Officer by a user with the IAS role of "Supervisory Contracting Officer." There are many different rules that may be used to determine who will be automatically assigned to a particular requisition, therefore, users should contact their IAS Agency Lead for further details regarding how the Buyer Assignment rules are configured for their agency.*

As of the IAS v2.5 release, the Requisition Module will provide the capability to view the name, phone number, and email of the most current Purchasing Agent/Contracting Officer assigned to a requisition within the details of the requisition. This information will display once the requisition has been approved in FFIS and automatically routed to a Purchasing Agent/Contracting Officer via the "Buyer Assignment Rules" for a particular agency. If the requisition is then subsequently re-assigned and the required "Contracting Officer" data field on the award document is changed, then the Requisition Module will reflect the new information. This also applies to modifications that may be completed by a different Purchasing Agent/Contracting Officer than identified on the base award. Therefore, the Requisition Module will always display the most current Purchasing Agent/Contracting Officer assigned to the associated award.

Requisitioners are encouraged to use this information to stay informed about the status of their requisitions. This information is also helpful if a need arises that requires a detailed or challenging amendment to a requisition as collaboration with the Purchasing Agent/Contracting Officer is frequently required.

*Note regarding "IQ-NoCommit" requisitions: Buyer assignment rules are applied in the same manner for IQ-NoCommit requisitions as described above for IQ-Commit requisitions. The only exception to the process is that the IQ-NoCommit requisition data is not submitted to FFIS and is immediately routed to the acquisition module.

7.0 OBLIGATING AND OTHER CONTRACTUAL DOCUMENTS

This section provides guidance on the use of IAS in generating obligating and other contractual documents. The guidance is oriented towards areas of specific guidance in system usage, rather than a general overview of each document type.

It should be noted that IAS does not support negative line items to capture trade-in items and / or special discounts. In the case that a trade-in of old equipment or special discount is to be applied, the Contracting Officer should calculate the final unit price and enter that in IAS. Negative line items will cause contract awards to reject in FFIS.

7.1 Tolerances

Tolerances will be managed in FFIS at the document level. Agencies may set tolerances to a maximum not to exceed 25 percent or \$1,000 between the requisition and obligation documents and between the obligation and payment documents. Each agency HCAD and OCFO has the option to choose their own tolerance in the system as long as it complies with the threshold stated above. Users should refer to their agency policy supplements for information regarding agency specific tolerances.

As noted elsewhere in this document, line structures must be consistent from requisition to contract award. It is not possible to have a single requisition line for a lump sum and then award 10 contract lines against the requisition. It is, however, possible to make adjustments to a line on a contract as long as the resulting total document level dollar value falls within the tolerance threshold. For example, if a requisition was for 100 hours of services at \$100 an hour, it would be possible to purchase those services as one job lot with a unit price of \$10,000. In this case changes were made to the quantity and price but the total dollar amounts remain equal. Another example is if a requisition was for 100 hours of services at \$100 an hour, it would be possible to purchase those services as one job lot with a unit price of \$11,000. In this situation the new total dollar value (\$11,000) falls within the tolerance threshold, therefore, the obligation will be processed successfully in FFIS.

7.2 Simplified Purchases

The Optional Form (OF) 347, Order for Supplies and Services, is the new default for purchase orders, although users are free to use any of the documents that the system presents as alternatives, as appropriate within FAR guidelines. A class deviation permitting use of the OF 347 and the OF 348 (Order for Supplies and Service Schedule – Continuation) in lieu of the USDA Form AD-838, Purchase Order, by IAS users was authorized by the USDA Senior Procurement Executive on August 15, 2002. The AD-838 will be phased out with the retirement of PRCH and agency-specific legacy acquisition systems.

7.3 Formal Procedures

This section will include both contract awards and non-obligating contracts such as IDIQ.

Users should note also that the system does support hybrid contracts (part obligating, part ordering). Users can select a contract type in the main document setup section of the acquisition management module, but individual line items can be set to allow task or delivery orders as opposed to a single order.

7.4 Orders Against Contract

7.4.1 Delivery Order / Task Order

A user will first create a contract with general line item information (description, unit cost, and quantity). This can be either a non-obligating contract or a hybrid contract. A delivery or task order is then created

by referencing a requisition that created a commitment (unless the governing contract also obligated funds). The Purchasing Agent / Contracting Officer will be required to associate the order line item with the contract line item in order to ensure that the correct contract line items have been referenced, prior to approving the obligation of funds for the specific order. This process can be repeated until the quantity assigned by each line item has been awarded.

Users should note that the total quantities on line items of the order may not exceed the ceiling assigned on the governing contract. Also, the orders against contract may not exceed the total amount originally awarded. If such modifications need to take place, the user will be required to modify the originating contract.

Modifications to an obligating delivery or task order should follow the same requisition and contract award procedures discussed in this document.

Please note that any orders placed against an IAS-originated contract will be captured by the system and the governing contract will show the status of all orders against it. Orders against an outside contract (e.g. a GSA schedule) have a field for the capture of the governing contract number but no relationship is established, and no data from that external contract is available for reference in IAS.

7.4.2 Blanket Purchase Agreements (BPA) / BPA Calls

The setup of blanket purchase agreements will follow the same general procedure as a contract that permits creation of orders. However, when the Purchasing Agent / Contracting Officer is creating a BPA call from a requisition with committed funds– BPAs will follow the same rule as delivery and task orders, as described above; however, the BPA Setup will not need to reference line items; only the vendor the BPA is being awarded to.

BPA Calls will need to be created from commitment creating requisition(s).

7.4.2.1 BPA / BPA Call Prohibitions

With the advent of commitment accounting and three-way matching between an order, receipt and invoice, BPA's that are currently set up to allow field staff to order from vendors without a paper request and which allow payment upon receipt of invoice will be discontinued as it relates to IAS. Field staff may be authorized to set up oral BPA Calls and then follow up with a paper commitment request in IAS to the Contracting Officer who may then issue the formal Call through obligating entry into IAS. If numerous small BPA Calls are standard procedure the Commitment in IAS may represent the total estimated to be needed and the Contracting Officer may issue a summary BPA Call in IAS on a weekly or monthly basis of actual oral Calls.

7.5 Recurring Payments and Automated Closure of Hanging Commitments

7.5.1 Recurring Payments

When Purchasing Specialists or Contracting Officers are creating the obligating document for an action with recurring payments, the specific setup criteria should be entered in the contract management module, on the screen Main: Additional Information.

Users should stipulate the following for the recurring payment:

- start date (first date on which payment should be made)
- end date (date upon which the final payment should be made)
- number of periods (the number of months over which the recurring payment lasts)
- frequency with which payments should be made (the system allows daily, weekly, and monthly payments)

In addition, users should provide pertinent information to APB via the "Notes to APB" Field.

Once the obligating document is submitted, APB staff will set up a payment transaction necessary to process the recurring payments. The recurring invoice is structured as a total amount paid per invoice, as opposed to by line item in the obligating document.

For further details on cancellation and payment processes please see section 9.2.

7.52 Automated Closure of Hanging Commitments

With release 2.4, IAS provides a way to eliminate hanging commitments in the application. If an award document (obligation) is marked as "final" by the CO via the final flag functionality, all funds committed by the requisition but not obligated by the award will be released (de-committed) to be used for other purchases.

7.6 Modification of Contract awards

A user may choose to modify a number of items on an contract award.

Changes to items that do not have an impact on the commitment or obligation may be changed by modifying and releasing a contract modification.

If a user wishes to modify an item or data field that will impact the commitment or obligation on an contract award, the procedure will depend on if the award document has been partially or fully obligated and if the modification will increase or decrease the award. As mentioned previously, a user will not be able to modify a fully awarded obligation document that has also been fully received against.

7.6.1 Increase for partially and fully awarded obligations

If it is necessary to increase the quantity or unit cost of an obligation, the user must modify the original requisition document (as described in the Requisition section) and create an award modification by refreshing all the data from the requisition. The award document should then be released to adjust the obligation.

7.6.2 Account code changes for partial obligations

Account code changes for partially obligated documents will require a user to first modify the requisition and have it approved. The contract award will then be modified using the modified requisition and released.

7.6.3 Account code changes for full obligations

Account code changes for fully obligated documents first requires a modification to the award document where ALL line items listed are disassociated with the referenced requisition, even if line items reference multiple requisitions. This modification is then released.

Upon successful release, the user must contact the requisitioner to inform them that they may amend the account codes on the requisition. Once the commitment amendment is approved, the Acquisition user will then modify the award document and re-associate ALL line items to the modification. Upon completion, the award document may be released to create the obligation.

For constructive changes under FAR 14.407-4, if the modification requires increases in cost, or a re-allocation of line items, then the described procedures for modifying obligations must be followed. If there is a decrease in cost, or the changes are in some way administrative, then the Contracting Officer can issue a contract modification without involving the requisitioner.

Please note that once an invoice has been processed on an obligation document, the accounting codes may no longer be changed for the requisition or obligation document. This is true whether the invoice is for a full or partial payment.

7.6.4 Cancellation of Contract awards

If it is necessary to cancel an contract award which has fully liquidated the committed funds, the Contracting Officer should cancel the contract award and contact their Obligation Error Manager of this fact. The Obligation Error Manager will see this modification returned from FFIS as an error, and should select the option to retry without reference. This will allow the obligation to be cancelled in FFIS, which in turn will allow the obligating / award document to be cancelled in IAS.

7.7 Reconstruction of Contracts

Contracts created prior to the implementation of IAS can be reconstructed in IAS for management of option years or for reference by task and delivery orders. Users who enter these documents will be able to enter all existing information though the original award number must be entered in the notes field as IAS will auto-generate a new document number. If your original accounting code is not in IAS, you may use the default accounting code as Reconstruct transactions are not sent to FFIS. Existing financial obligations for these reconstructed contracts must be managed to close via direct-entry in FFIS; the IAS interface will not transmit any transactions for reconstructed contracts.

New financial obligations – such as those caused by exercise of new options – will process through the IAS – FFIS interface and should be processed by generating a new award document which references the original award number in the notes field. Option years for awards created in legacy systems prior to IAS should not be managed out in future years via direct entry in FFIS.

7.8 Ratification and Other Prior Year Funds Actions

IAS supports the completion of contractual ratification actions. The specific procedure to follow depends on whether the action in question is a current year funds ratification or a prior year ratification. The same applies to claims and other actions such as re-award following termination for default, for which use of prior year annual funds are permitted.

For ratifications paid for out of current year annual funds, there are two options, described below. In the case that a ratification must be created and charged against prior year annual funds, then Option 2 as defined below is the only path that can be followed.

1. Complete requisition and commit funds, then reference requisition on order and release the obligation (This procedure has the limitation that the obligation will not show up as a ratification in FFIS.)
2. Complete a requisition and do not commit funds (by using the transaction code IQ-NOCOMMIT), create a PO using the information but NOT referencing in a systemic sense, release the PO and the interface will trigger the creation of a ratification obligation

7.9 Closure of Contract awards

Financial obligations should not be closed out via direct entry in FFIS by non-procurement staff, except as outlined below. All obligations that originate from IAS as a result of the creation of an obligation by a purchasing agent or Contracting Officer should only be closed out by the modification of the contract award to zero (in other words, via issuance of an SF-30 modification for de-obligation). This modification will be passed from IAS to FFIS via the financial systems interface to update FFIS accordingly. If there are any remaining committed funds which were not liquidated by an obligation and these are annual funds, then the commitment will be reversed. No-year funds will not be affected.

The only instance in which de-obligation would occur other than through an IAS trigger is as a result of year-end processes applied to obligations of single-year funds which are in the fifth year after obligation. Under these circumstances, these obligations would be closed by the system without Contracting Officer intervention. For further details, please refer to 10.0 Year End Processing.

Please note that the above comments on automated de-obligation do not apply to no-year funds.

It is recommended that Contracting Officers utilize the reminder tools in IAS for reminder notifications at the end of an acquisition's period of performance as a tool for ensuring that acquisitions are managed to completion.

7.10 Cross Servicing

IAS permits cross-servicing for procurements between different agencies. This cross servicing can take two forms: fixed relationship cross-servicing and ad-hoc cross servicing.

Fixed relationship cross-servicing is the provision of procurement services based on organizational relationships, as in the example of the Animal and Plant Health Inspection Service (APHIS) providing procurement services for the Grain Inspection, Packing, and Stockyards Administration (GIPSA). Ad hoc cross-servicing is the provision of procurement services on an as-needed basis between two or more agencies.

In order to execute cross-servicing, a Purchasing Agent / Contracting Officer has to be specifically identified as a User that provides cross-servicing. This allows the setup of their user profile to be defined such that they can view documents from multiple agencies. For fixed relationship cross-servicing, the IAS workflow for assigning requisitions to Purchasing Agents / Contracting Officers should be set such that requisitions consistently flow to that Purchasing Agent / Contracting Officer.

In addition, any Purchasing Agent / Contracting Officer, or indeed Supervisory Contracting Officer, who is to release contract awards, must have an appropriate Security Profile for the FFIS agency instance that the obligation in which the obligation will be processed.

7.11 Vendor Requests

If a Purchasing Agent / Contracting Officer needs to release a document to a vendor not currently in the FFIS vendor table (VEND), a request for addition of that vendor can be processed through the FFIS Preliminary Vendor Table (PVND) request table via the agency PVND Requestor. Updates to vendor tables in FFIS will be processed automatically via a nightly CCR match process. In order for a vendor to be matched, all three of the following parameters must be met:

1. The Tax ID number on VEND must match CCR.
2. The banking information on VEND must match CCR.
3. The zip code on VEND must match the **remittance** address on CCR, including zip +4.

Once a vendor is matched, the match tool process will upload the DUNS/CAGE fields in the VDUN table, which is displayed on the VEND record. Only those records matched will be automatically updated if a vendor changes their CCR information.

If the update pertains to one of the 3 parameters, (such as adding EFT information) or these parameters are not met then the match tool will not work. In this case the IAS User will need to go through the PVND Requestor to update this information in FFIS via the PVND table. The procedures can be found in greater detail and with supplementary materials in Agriculture Acquisition Regulation (AGAR) Advisories 65 and 65 a.

Contracting Officers are required under FAR regulations to confirm that contractors are registered in Business Partner Network / Central Contractor Registry (BPN / CCR) (or are specifically exempt) prior to

making award. Correspondingly it is required that the individual entering vendor information in the PVND request table has already validated that the vendor is registered in BPN / CCR, prior to submitting the request form. The only exceptions are as defined in the FAR.

For addition of vendors, the following procedures should be followed:

1. For new vendors required to be in CCR, the Contracting Officer should provide the Vendor's name, address, and DUNS number, plus affirmation that the vendor is registered in CCR. ACFO-FO will then obtain EFT information from CCR, create the record, and in turn IAS vendor records will be updated.
2. For new vendors not required to register in CCR, the PVND entry will have to be supplemented outside the system by transmission of EFT information. (Alternatively the entire request could be made via the Communications Table (COMT in FFIS).

If a Contracting Officer is notified by a vendor that EFT or other information has changed, then the following procedures apply:

1. If the vendor has already updated CCR, then OCFO-FO need only be notified to obtain the most current data
2. If the vendor has not updated CCR, then the vendor must update EFT information in CCR so that it can be updated by OCFO-FO
3. If the vendor is not required to register in CCR but still required to process EFT transactions, the agency must provide the updated EFT information to OCFO-FO.

It is important that Purchasing Agents/Contracting Officers verify that any vendors that are to be awarded contracts have updated their EFT information in CCR and OCFO-FO has a current vendor record unless the vendor falls under an exception defined in the FAR.

7.12 Federal Procurement Data System-Next Generation Reporting

IAS supports the creation of Federal Procurement Data System – Next Generation (FPDS-NG) reports by interface to FPDS-NG. IAS pre-populates whatever data fields can be filled with data from the solicitation, obligating, or contractual document. Users must complete the FPDS-NG report prior to releasing the award.

7.13 Document History

The Document Approval History for Requisitions is available to users in the Acquisition Module of IAS as of the v2.4 release. This allows Contracting Officers to ensure that Requisitions have been appropriately approved before initiating the Acquisition process. In addition, the Approval History on the Requisition now includes a description of the error messages from FFIS and denotes when requisitions are awaiting a response from FFIS. At each point in the document approval workflow, the Document Approval History is updated and available for review by a user.

7.14 Contract Features

This section makes note of specific contract features which may require restructuring of orders and which may be different from current procurement practices.

7.14.1 Performance Based Incentives / Disincentives

Invoices can be paid for an amount less than was obligated. For premiums or other incentives, if additional monies should be given to the vendor, a requisition and award modification is necessary to increase the funding.

Policy should be determined at an agency level so that prompt payment does not become an issue.

7.14.2 sub-CLINs

IAS is tied in real-time to the USDA financial system (FFIS). Financial systems (FFIS or the iProc base system) do not support the use of the sub-CLIN structure. As a result, sub-CLIN's should not be used in IAS. Option years or other items commonly structured using sub-CLIN's can be numbered as line items and grouped either by item/service or year, however the user chooses. If used for option years, the 'Subject to Availability of Funds' status code should be chosen for future years. Those line items can be modified as funding is made available.

7.14.3 Simple Services contracts

Due to commitment accounting, your agency may need to revisit its current guidelines for placing calls against services-based contracts (e.g. FedEx, copier services, etc.). A requisition will be required to process either the award (BPA) or the calls against the award depending on whether the BPA setup or the BPA call obligates.

Options are:

- Pay for these services outside of IAS using the purchase card (no entry into IAS and no commitment created)
- To 'bulk fund' obligate the BPA with an estimated amount upon BPA setup. Resulting calls could be entered and would debit from the original obligated amount. Calls can be entered upon receipt of goods/services or can be entered upon receipt of invoice. If more funding needed to be added, the requisition and BPA Setup could be modified to add more funding.
- To create a non-obligating BPA setup and then create requisitions and BPA calls either as goods/services are received or as invoices are received.

Your agency should determine which option is most appropriate for your agency's business needs, procurement policy and financial controls.

8.0 RECEIPTS

8.1 General Policy

Receipts will be required for all transactions created in IAS. The original requisitioner of the good or service may create a receipt. Agencies can also identify users of the requisition module to be granted receipt rights; these users will then be able to receipt for transactions they did not initiate.

8.2 Thresholds

There will be no minimum threshold for entry of receipts in IAS. IAS will not allow the user to over-receipt, that is, to enter receipt for more items than were ordered.

NOTE: Users may enter over-receipt for an account code distribution on a single line-item but may not over-receipt for the line total. For example, if a quantity of 10 items were requested and the items for that line item were evenly split across two accounting lines, upon receipt, the receiver may receipt for all on one accounting line but could not receipt for more than 10 items total across the accounting lines.

8.3 Receiving Unit of Measure

As of the IAS v2.5 release the Receiving functionality will automatically default the Unit of Measure identified in the associated award document for the Unit of Measure on receipts. Therefore, Purchasing Specialists/Contracting Officers should ensure that the appropriate Unit of Measure has been entered on their award documents to allow for proper receipting.

8.4 Automatic Completion of Receipts

There will be no automatic completion of receipts in IAS. Acquisitions which traditionally have been handled as "obligate and pay" (PRCH Type 41) or "no receipt required" (anything under \$2500) will be executed consistent with this general policy.

8.5 Returns

Return functionality is not currently operational in IAS. However, users may modify a receipt down to reflect a return. This can only be done in IAS if one of the two conditions has not been met.

1. The user has fully receipted
2. An invoice has been created for the original receipt amount

8.6 Single Invoices for Multiple Receipts / Payments

There are circumstances in which vendors currently provide a single invoice for goods or services that are paid for on a periodic basis – for example, a single rent invoice for 12 monthly payments of rent. As noted above, GSA leases are excluded from IAS, but should a similar situation arise, the vendor will have to be asked to submit 12 invoices. IAS controls do not permit creation of a blanket invoice followed by multiple payments based on multiple receipts.

8.7 Responsibility for Receipt Entry

The ability to enter a receipt in IAS is a specifically-granted system right which is currently available to requisition users.

As of the release of IAS v2.5, receivers will now have the ability to proxy their receiving duties. The proxy functionality was previously only granted to requisitioners and Procurement Agents/Contracting Officers but has been extended to receivers. This functionality will enable other IAS users to receive on the original receiver's behalf.

8.8 Acceptance and Prompt Pay

IAS provides capabilities to enter both partial and complete receipts. There is no capability to enter receipt information and route for approval. Entry of a receipt in IAS therefore will constitute final acceptance for Acquisition Management and Prompt Payment purposes. Users entering receipts in IAS must have a valid user id set up in FFIS with privileges to post receiver documents to the FFIS tables.

Users should note that the date entered for "Receipt Date" will trigger Prompt Pay activities. Receipts may also be used to denote approval for progress payments, when appropriate.

8.9 Receipting Processes External to IAS

Any receipting for purposes other than final acceptance should occur outside of IAS. For example, receipt at a loading dock or similar should be completed manually. Agencies will need to determine what these procedures will be at the time of implementation of IAS at that agency.

8.10 Receipts for Ratifications

In cases where a ratification document has been completed and has generated a ratification document (IN) in FFIS, the receipt must be entered in the core module of IAS. If a requisitioner attempts to receipt for this document in IAS, the transaction will fail, and it will not be possible to complete an invoice. Entry of this receipt will not default as a responsibility of the requisitioner (as requisitioners generally do not have access to the core module of IAS), but will be a right specifically granted to a budget approver user as identified by the agency.

9.0 INVOICES

9.1 Policy

By directive of the Associate Chief Financial Officer for Financial Operations, Controller Operations Division (ACFO-FO COD), invoices will only be entered into IAS by the staff of the Administrative Payments Branch (APB) in New Orleans.

Agency staff will not be provided with access rights to enter invoices into IAS. Agency staffs are to direct vendors to remit invoices to APB except for those cases in which proper contract administration requires that an invoice be submitted to the issuing office for review.

In those cases where invoices must be reviewed by the contracting office, Purchasing Agents/Contracting Officers will attach the new IAS Payment Cover document (formerly known as the AD-838B) to the invoice and send both documents together to APB. The purpose of the new IAS Payment Cover document is to improve upon the data captured on the 838B form as well as to provide the Purchasing Agents/Contracting Officers with the capability of identifying Prompt Pay terms and conditions for proper payment.

9.2 Recurring Payments

IAS 2.4 supports the creation of recurring payments. Recurring payments are defined as payments for a fixed amount which occurs on a fixed basis, such as rent.

Receipts are not required for recurring payments in IAS 2.4.

9.2.1 Creation of Recurring Payments

When Purchasing Specialists or Contracting Officers are creating the obligating document for an action with recurring payments, the specific setup criteria should be entered in the contract management module, on the screen Main: Additional Information.

Users should stipulate the following for the recurring payment:

- start date (first date on which payment should be made)
- end date (date upon which the final payment should be made)
- number of periods (the number of months over which the recurring payment lasts)
- frequency with which payments should be made (the system allows daily, weekly, and monthly payments)

In addition, users should provide pertinent information to APB via the "Notes to APB" Field.

Once the obligating document is submitted, APB staff will create the recurring invoices necessary to process the recurring payments. The recurring invoice is structured as a total amount paid per invoice, as opposed to by line item in the obligating document.

9.2.2 Cancelling Recurring Payments

In the event that recurring payments must be stopped –for example as a result of termination for cause – the purchasing specialist or contracting officer should contact APB and arrange to have any pending invoices cancelled. If no payments have yet been made (for instance, the contract is new and no goods or services have been provided), then the purchasing specialist / contracting officer can select the "cancel" option in the acquisition management module.

If payments have been made, then the purchasing specialist / contracting officer should create a modification which decreases the obligation to the amount of the most recent payment. This could take the form of:

1. Reducing the amount of a single line obligation
2. Reducing the unit quantity of a line (e.g. from 12 months of rent to 6 months of rent)
3. Deleting specific lines (where goods and service are broken out over multiple lines)

In essence, the purchasing specialist / contracting officer should work with whatever is the existing structure of the obligating document, to ensure that the header amount of the obligating document does not exceed the total amount authorized for payment or disbursed.

9.3 Invoice Remittance Address Business Rules

All invoices for IAS-generated procurements will be entered by the Administrative Payments Branch (APB).

Agency acquisition management staff should assign remittance addresses on contract awards as follows:

Orders / Contracts **Not Requiring** CO or COR Review of Progress: For any order or contract in which the CO or COTR will not be reviewing invoices for progress payment authorization, time and materials charges, etc., the vendor should be directed to remit invoices to the regular PO Box at the NFC. Orders falling into this category would include commercial supplies purchases, for example. The PO Box to be used is:

USDA, OCFO, COD, APB
P. O. Box 60075
New Orleans, LA 70160

The PO Box to be used is:

USDA, OCFO, COD, APB
P. O. Box 60075
New Orleans, LA 70160

9.4 Invoice Management Business Rules

The business rules specific to activities for entering and approving invoices will be documented in APB desk procedural guides for use by APB staff. Please note, however, that as of the IAS v2.5 release, the system functionality has been improved for invoicing. Users entering invoices in IAS will now be able to view the status (i.e. Approved, Submitted, Rejected, etc.) of invoices and receipts. They will also be able to view the Receiver's name, email, and phone number in the Invoicing module which will aid users when they have questions regarding any receipts associated to the invoices they are completing in the system.

10.0 ERROR MANAGEMENT

This section describes error management in IAS and provides guidance on how error management functionality is used to process transactions in the system.

10.1 IAS/FFIS Transaction Process

Requisitions and Acquisitions are always created in IAS and then transmitted to FFIS for formal commitment or formal obligation. When FFIS receives transaction information this is then converted into an FFIS formatted document and loaded into an alternate table for processing. The formatted FFIS document is processed through various document validations and edits which results in either an approval or rejection in FFIS.

Approvals equate to formal commitments (if a requisition transaction) and obligations in FFIS. An FFIS response is then returned to the IAS user indicating that the transaction has been accepted. The IAS user may then continue completion of the procurement process.

Rejections are due to errors that occur during the FFIS validation process. Errors may be caused for many reasons such as invalid budgets or incorrect accounting elements that were populated on the transaction in IAS. These error messages are recorded in the IAS Error Management Module, and a message is returned to the IAS user indicating that the transaction rejected with descriptions of all errors that are associated to the transaction. The IAS user is then responsible for contacting their appropriate Error Manager to determine if the Error Manager is able to resolve the errors, or if the IAS user must amend/modify the transaction and resubmit to FFIS.

10.2 Types of Errors

All transaction errors are viewable via the Error Management Module. Only IAS users designated as Error Managers may access this module. Error Managers may only access errors corresponding to their own agency. The errors listed are separated out by Commitment, Obligation, Receipting, and Invoicing errors. The errors can be further divided into the following three specific categories:

1) Non-Actionable: These are errors of any document type that must be corrected by the creator of the transaction. They cannot be re-tried by an Error Manager. The Error Manager, however, can work with the creator to assist them with understanding what steps they need to take in order to fix their document properly and successfully re-submit it to FFIS. Non-Actionable Errors can be quickly identified by their nomenclature as a non-actionable error will always contain an "E" in the fifth character of the error code.

Ex) A232E INVALID VENDOR CODE

2) Actionable: These are errors of any document type that can be resolved with Error Manager intervention. Depending on the type of error, the Error Manager has the capability to perform one of the following actions: Reject, Override, Retry, and Retry-without-Reference. The details of how this functionality differs can be found in the Error Management user guides posted on www.ias.usda.gov. Actionable Errors can be quickly identified by their nomenclature as an actionable error will always contain an "O" in the fifth character of the error code. Errors that cannot be corrected by an Error Manager should be referred to the IAS Help Desk for assistance.

Ex) US18O EXP AMT > UPPER TOL LIM

3) Warning: These are errors that are warning messages and typically follow a non-actionable or actionable error. These may be ignored as the document will process without any corrections to these messages.

Ex) PAC7W: WIN SUFFICIENT PROJ FUNDS

It is important to note that regardless of the error, these are all FFIS errors (not IAS errors) and users should not only access the documentation on the IAS portal site but look to their internal FFIS experts for subject matter expertise. The EERG table in FFIS defines every possible error that may appear in the Error Management module and corrective actions that may need to be taken in order to resolve an error. Please refer to www.ias.usda.gov for more specifics on error management functionality.

10.3 Invoicing and Receipting Errors

Although all errors are categorized as “actionable” containing an “O” in the fifth character or “non-actionable” containing an “E” in the fifth character (or may be warnings) the action needed to resolve errors pertaining to Invoicing and Receipting is different than stated above for Commitment and Obligation errors. All receipt and invoicing errors, whether technically identified as “actionable” or “non-actionable” may be corrected by the receipting or invoicing error manager. In those cases where the Error Manager is unable to resolve an error the IAS Help Desk should be contacted for assistance.

11.0 YEAR END PROCESSING

This section details year-end processes to be followed in IAS.

11.1 Closing Open Requisitions

At the end of the fiscal year, IAS system administrators will run processes to cancel all requisitions that have committed annual funds but have not been referenced by an order. The funding that is released from the cancellation of these requisitions will be returned to the original budget in FFIS.

In advance of the end of the fiscal year, it is recommended that program offices track their open commitments. This can be achieved by querying FFIS or IAS to identify all open IQ transactions (requisitions). A determination can then be made on whether the requisition is still valid or is no longer required. Program office staff can then arrange to have the requisition cancelled (see Canceling Requisitions), or work with their procurement office staff to get an order released.

11.2 Closing Obligations

If the Contracting Officer has not closed an obligation of single year funds by the end of the fifth year after the obligation was originally created, prior to the year-end close process, then as part of the year end close processes in FFIS the obligation will be closed automatically. This statement does **not** apply to multi-year or no year funds.

It is expected that Contracting Officers and fiscal offices will routinely review reports generated from both IAS and FFIS to determine which obligations are open, and to determine which of those open obligations can and should be closed. As noted above, any de-obligations resulting from review of reports, separate from those driven by year-end processes, should originate from IAS. This is consistent with USDA DR2230-001, Reviews of Unliquidated Obligations, dated April 17, 2002.

It is recommended that Contracting Officers utilize the reminder tools in IAS for reminder notifications at the end of an acquisition's period of performance as a tool for ensuring that acquisitions are managed to completion.

12.0 RELATION TO OTHER PROCUREMENT SYSTEMS

This section documents the relations between IAS and other federal procurement systems to which IAS is not connected.

12.1 Fed Biz Opps

Due to current technical restrictions, IAS is unable to connect directly to FedBizOpps (FBO). As a result, postings to FBO must be made by going directly to the FBO website, logging in and posting as normal. You may attach IAS generated or other documents to the FBO website.

12.2 e-Buy

GSA's e-Buy system can be used to select vendors and distribute solicitations. You can create your solicitation in IAS and either distribute to vendors via email from IAS or may distribute the generated file to vendors via the e-Buy system. There is no system connection to E-Buy. You must log in to e-Buy to attach and post solicitations.

APPENDIX A: IAS USER ROLES AND FFIS SECURITY PROFILES

Systems Roles Matrix

IAS & FFIS USER ROLES AND RESPONSIBILITIES



Washington DC
December 27, 2004

DRAFT

1.1.1.1.1.1.1.1 IAS User Roles

The following tables present IAS user types, the IAS roles associated with that user type, any additional roles the user type could have, and the equivalent security role required for the FFIS interface. Each role is mapped to transactions in the acquisition and financial terms.

Table 1: Guide to FFIS Codes for IAS-originated Transactions

1.1.1.1.1.1.1.1.1 Table 2: Agency Roles and Responsibilities for IAS

Table 3: Incompatible Agency Roles / Separation of Duties Requirements for IAS

FFIS Security Profiles

The following tables are intended for Agency FFIS Security Administrators ONLY to assist in FFIS security profile configuration.

Table 4: FFIS Security Profiles for Corresponding IAS User Types for IAS

Table 5: Incompatible FFIS Security Profiles / Separation of Duties Requirements for IAS Roles

Table 1: Guide to FFIS Codes for IAS-originated Transactions

FFIS TRANSACTION CODE	CORRESPONDING TRANSACTION
IQ	Requisition
IO	Obligation
IC	Receipt
IM	Payment
IN	Ratified Obligation

IAS USER ROLES AND RESPONSIBILITIES

Table 2: Agency Roles and Responsibilities for IAS

IAS USER TYPE	IAS DEFINITION	FFIS INTERFACE ROLE FOR THIS USER TYPE	OTHER IAS ROLE?
Requisitioner (non-approving) <i>IAS Component: iProc</i>	<ul style="list-style-type: none"> • Create and submit requisition in IAS only for management and funds approval • Modify unapproved requisition 	<ul style="list-style-type: none"> • None (No FFIS Access) 	<ul style="list-style-type: none"> • Receiver
Requisition Approver <i>IAS Component: iProc</i>	<ul style="list-style-type: none"> • Review and approve requisitions for program office or other controls such as IT, Property, etc. 	<ul style="list-style-type: none"> • None (No FFIS Access) 	
Budget Approver (e.g. budget officer, funds holder) <i>IAS Component: iProc</i>	<ul style="list-style-type: none"> • Review and approve requisitions for funding • Modify approved requisitions • Cancel approved requisitions 	<ul style="list-style-type: none"> • Create, modify, and cancel requisitions (IQs) • Create, modify, and cancel receipts (ICs) 	<ul style="list-style-type: none"> • Commitment Error Manager

IAS USER TYPE	IAS DEFINITION	FFIS INTERFACE ROLE FOR THIS USER TYPE	OTHER IAS ROLE?
Commitment Error Manager <i>IAS Component: Core Apps</i>	<ul style="list-style-type: none"> Review and retry or manually reject failed requisitions through the interface 	<ul style="list-style-type: none"> Requisition (IQ) Override Requisition (IQ) Retry Receipt (IC) Retry 	<ul style="list-style-type: none"> Budget Approver
Supervisory Contracting Officer <i>IAS Component: Prism</i> <i>IAS Component: Core Apps for PVND request; not all users will have this access</i>	<ul style="list-style-type: none"> Same definition as Purchasing Specialist / Contracting Officer, plus Assign requisitions to Acquisition staff 	<ul style="list-style-type: none"> Same as Purchasing Specialist / Contracting Officer 	<ul style="list-style-type: none"> Obligation Error Manager
Purchasing Specialist / Contracting Officer <i>IAS Component: Prism</i> <i>IAS Component: CoreApps for PVND request; not all users will have this</i>	<ul style="list-style-type: none"> Create acquisition documentation including obligating documents (self-approving) Manage acquisitions through their lifecycle Request vendor (if granted system access to do same) 	<ul style="list-style-type: none"> Create, modify, and cancel obligation (IO) Create, modify, and cancel ratified obligation (IN) PVND Request 	<ul style="list-style-type: none"> Obligation Error Manager

IAS USER TYPE	IAS DEFINITION	FFIS INTERFACE ROLE FOR THIS USER TYPE	OTHER IAS ROLE?
Obligation Error Manager <i>IAS Component: Prism</i> <i>IAS Component: CoreApps</i>	<ul style="list-style-type: none"> • Override, Retry or manually reject transactions which were returned from FFIS with an Error • Request vendor 	<ul style="list-style-type: none"> • Create, modify, and cancel obligation (IO), ratified obligation (IN) and PVND • Obligation (IO) Override • Ratified Obligation (IN) Override • Obligation (IO) Reject • Ratified Obligation (IN) Reject 	<ul style="list-style-type: none"> • Purchasing Specialist / Contracting Officer / Supervisory Contracting Officer
PVND Requestor <i>IAS Component: Core Apps for PVND request; not all users will have this access</i>	<ul style="list-style-type: none"> • Request vendor 	<ul style="list-style-type: none"> • PVND Request 	<ul style="list-style-type: none"> • Purchasing Specialist / Contracting Officer / Supervisory Contracting Officer • Obligation Error Manager
Receiver <i>IAS Component: iProc</i>	<ul style="list-style-type: none"> • Create and submit receipts 	<ul style="list-style-type: none"> • Create receipt (IC) 	<ul style="list-style-type: none"> • Requisitioner

THE FOLLOWING ROLES APPLY TO THE ADMINISTRATIVE PAYMENTS BRANCH (APB) ONLY:

IAS USER TYPE	IAS DEFINITION	INTERFACE ROLE FOR THIS USER TYPE	OTHER IAS ROLE?
Invoice Entry Clerk (applies to APB only) IAS Component: Core Apps	<ul style="list-style-type: none"> Enter invoices and match them to obligating documents and receipts 	<ul style="list-style-type: none"> None 	<ul style="list-style-type: none"> None
Payment Approving Officer (applies to APB only) IAS Component: Core Apps	<ul style="list-style-type: none"> Review and approve invoices 	<ul style="list-style-type: none"> Create invoice (IM) 	<ul style="list-style-type: none"> None
Payment Approving Error Manager (applies to APB only) IAS Component: Core Apps	<ul style="list-style-type: none"> Review and manually reject or retry approved invoices which were returned from FFIS with an error 	<ul style="list-style-type: none"> Create invoice (IM) Invoice (IM) retry Invoice (IM) Override 	<ul style="list-style-type: none"> Payment Approving Officer

IAS USER TYPE	IAS DEFINITION	INTERFACE ROLE FOR THIS USER TYPE	OTHER IAS ROLE?
Interface Manager (applies to PSD only) IAS Component: Core Apps	<ul style="list-style-type: none"> • Manage operations of the interface <ul style="list-style-type: none"> – Maintain agency cross reference – Maintain Lookup Codes – Manage FFIS Interface Control 	<ul style="list-style-type: none"> • None 	<ul style="list-style-type: none"> • None
Payment Status Reviewer (applies to APB only) IAS Component: Core Apps	<ul style="list-style-type: none"> • Lookup status of payments in payment backfeed table 	<ul style="list-style-type: none"> • None 	<ul style="list-style-type: none"> • Purchasing Specialist / Contracting Officer / Supervisory Contracting Officer • Approving Officer

Table 3: Incompatible Agency Roles / Separation of Duties Requirements for IAS

A USER WITH THIS IAS ROLE...	...CANNOT HAVE THIS IAS ROLE
Requisitioner	<ul style="list-style-type: none"> Any role other than Receiver
Requisition Approver	<ul style="list-style-type: none"> Any role
Budget Approver	<ul style="list-style-type: none"> Acquisition Management staff / Create Obligation (IO)
Commitment Error Manager	<ul style="list-style-type: none"> Obligation Error Manager / Override or reject obligation (IO) error
Purchasing Specialist / Contracting Officer / Supervisory Contracting Officer	<ul style="list-style-type: none"> Budget Approver / Create requisition (IQ) Payment Approving Officer / Approve Invoice Receiver /Create receipt (IC)
Obligation Error Manager	<ul style="list-style-type: none"> Budget Approver / Create requisition (IQ) Payment Approving Officer / Approve Invoice Receiver / Create receipt (IC)
PVND Requestor	<ul style="list-style-type: none"> N/A
Receiver	<ul style="list-style-type: none"> Requisition Approver Budget Approver /Create requisition (IQ) Purchasing Specialist/Contracting Officer/Supervisory Contracting Office / Create obligation (IO) Approver Officer /Approve receipts (IC)

THE FOLLOWING ROLES APPLY TO THE ADMINISTRATIVE PAYMENTS BRANCH (APB) ONLY:

A USER WITH THIS IAS ROLE...	...CANNOT HAVE THIS IAS ROLE
Invoice Entry Clerk (applies to APB only)	<ul style="list-style-type: none"> • Budget Approver / Create requisition (IQ) • Purchasing Specialist / Contracting Officer / Contracting Manager / Create obligation (IO) • Approving Officer / Approve receipt (IC) • Receiver / Create receipt (IC)
Payment Approving Officer (applies to APB only)	<ul style="list-style-type: none"> • Budget Approver / Create requisition (IQ) • Purchasing Specialist / Contracting Officer / Contracting Manager / Create obligation (IO) • Receiver / Create receipt (IC)
Interface Manager (applies to PSD only)	<ul style="list-style-type: none"> • Any other role
Payment Status Reviewer (applies to APB only)	<ul style="list-style-type: none"> • Anything other than Purchasing Specialist / Contracting Officer / Contracting Manager, PVND Requestor, or Obligation Error Manager

FFIS SECURITY PROFILES

NOTE: The following tables are intended for Agency FFIS Security Administrators ONLY.

Table 4: FFIS Security Profiles for Corresponding IAS User Types for IAS

IAS USER TYPE	FFIS SECURITY PROFILE NAME	FFIS SECURITY PROFILE
Requisitioner (non-approving) <i>IAS Component: iProc</i>	<ul style="list-style-type: none"> IAS Only User (user id is in the STAB table but there is no access) 	<ul style="list-style-type: none"> *IASONLY If the requisitioner is to receive, they must be given the FFIS security profile *IASRCVR not *IASONLY
Requisition Approver <i>IAS Component: iProc</i>	<ul style="list-style-type: none"> IAS Only User (user id is in the STAB table but there is no access) 	<ul style="list-style-type: none"> *IASONLY
Budget Approver (e.g. budget officer, funds holder) <i>IAS Component: iProc</i>	<ul style="list-style-type: none"> Requisition /Receiver 	<ul style="list-style-type: none"> *IASDUOA
Commitment Error Manager <i>IAS Component: Core Apps</i>	<ul style="list-style-type: none"> Requisition / Receiver with Override Authority 	<ul style="list-style-type: none"> *IASDUOB
Supervisory Contracting Officer <i>IAS Component: Prism</i> <i>IAS Component: Core Apps for PVND request; not all users will have this access</i>	<ul style="list-style-type: none"> Acquisitioner 	<ul style="list-style-type: none"> *IASBUYA
Purchasing Specialist / Contracting Officer	<ul style="list-style-type: none"> Acquisitioner 	<ul style="list-style-type: none"> *IASBUYA

IAS USER TYPE	FFIS SECURITY PROFILE NAME	FFIS SECURITY PROFILE
<i>IAS Component: Prism</i> <i>IAS Component: Core Apps for PVND request; not all users will have this access</i>		<ul style="list-style-type: none"> In the case of a procurement technician or other staff member who does not have any warrant, use *IASONLY
Obligation Error Manager <i>IAS Component: Prism</i> <i>IAS Component: Core Apps</i>	<ul style="list-style-type: none"> Acquisitioner with Override Authority 	<ul style="list-style-type: none"> *IASBUYB
PVND Requestor <i>IAS Component: Core Apps for PVND request; not all users will have this access</i>	<ul style="list-style-type: none"> Acquisitioner 	<ul style="list-style-type: none"> *IASBUYA If the PVND requestor will be an Obligation Error Manager, use *IASBUYB
Receiver <i>IAS Component: iProc</i>	<ul style="list-style-type: none"> Receiver 	<ul style="list-style-type: none"> *IASRCVR

IAS USER TYPE	FFIS SECURITY PROFILE NAME	FFIS SECURITY PROFILE
Invoice Entry Clerk (applies to APB only) IAS Component: Core Apps	<ul style="list-style-type: none"> IAS ONLY (user id is in the STAB table but there is no access) 	<ul style="list-style-type: none"> *IASONLY
Payment Approving Officer (applies to APB only) IAS Component: Core Apps	<ul style="list-style-type: none"> Approver (Payment) 	<ul style="list-style-type: none"> *IASAPVA

Payment Approving Error Manager (applies to APB only) IAS Component: Core Apps	<ul style="list-style-type: none"> • Approver (Payment) with Override 	<ul style="list-style-type: none"> • *IASAPVB
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IAS USER TYPE	FFIS SECURITY PROFILE NAME	FFIS SECURITY PROFILE
Interface Manager (applies to PSD only) IAS Component: Core Apps	<ul style="list-style-type: none"> IAS Only (user id is in the STAB table but there is no access) 	<ul style="list-style-type: none"> *IASONLY
Payment Status Reviewer (applies to APB only) IAS Component: Core Apps	<ul style="list-style-type: none"> Use existing profile 	<ul style="list-style-type: none"> Use existing profile (typically *IASBUYA and *IASBUYB)

Table 5: Incompatible FFIS Security Profiles / Separation of Duties Requirements for IAS Roles

A USER WITH THIS IAS ROLE...	...CANNOT HAVE THIS IAS ROLE	...OR THIS FFIS PROFILE (S)
Requisitioner	<ul style="list-style-type: none"> Any role other than receiver 	*IASDUOA, *IASDUOB, *IASBUYA, *IASBUYB, *IASAPVA, *IASAPVB
Requisition Approver	<ul style="list-style-type: none"> Any role 	*IASDUOA, *IASDUOB, *IASBUYA, *IASBUYB, *IASAPVA, *IASAPVB

A USER WITH THIS IAS ROLE...	...CANNOT HAVE THIS IAS ROLE	...OR THIS FFIS PROFILE (S)
Budget Approver	<ul style="list-style-type: none"> Acquisition Management staff / Create IO 	*IASONLY, *IASDUOB, *IASBUYA, *IASBUYB, *IASAPVA, *IASAPVB
Commitment Error Manager	<ul style="list-style-type: none"> Obligation Error Manager / Override or reject IQ error 	*IASONLY, *IASBUYA, *IASBUYB, *IASAPVA, *IASAPVB
Purchasing Specialist / Contracting Officer / Supervisory Contracting Officer	<ul style="list-style-type: none"> Budget Approver / Create IQ Payment Approving Officer / Approve Invoice Receiver / Create IC 	*IASDUOA, *IASDUOB, *IASBUYA, *IASBUYB, *IASRCVR, *IASAPVA, *IASAPVB
Obligation Error Manager	<ul style="list-style-type: none"> Budget Approver / Create IQ Payment Approving Officer / Approve Invoice Receiver / Create IC 	*IASONLY, *IASDUOA, *IASDUOB, *IASBUYA, *IASAPVA, *IASAPVB
PVND Requestor	<ul style="list-style-type: none"> N/A 	*IASONLY, *IASDUOA, *IASDUOB, *IASAPVA, *IASAPVB

Receiver	<ul style="list-style-type: none"> • Requisitioner Approver • Budget Approver / Create IQ • Purchasing Specialist / Contracting Officer / Supervisory Contracting Officer / Create IO • Approving Officer / Approve IC 	*IASONLY, *IASAPVA, *IASAPVB
Invoice Entry Clerk (applies to APB only)	<ul style="list-style-type: none"> • Budget Approver / Create IQ • Purchasing Specialist / Contracting Officer / Contracting Manager / Create IO • Approving Officer / Approve IC • Receiver / Create IC 	*IASONLY, *IASDUOA, *IASDUOB, *IASBUYA, *IASBUYB, *IASRCVR, *IASAPVB
Payment Approving Officer (applies to APB only)	<ul style="list-style-type: none"> • Budget Approver / Create IQ • Purchasing Specialist / Contracting Officer / Contracting Manager / Create IO • Receiver / Create IC 	*IASONLY, *IASDUOA, *IASDUOB, *IASBUYA, *IASBUYB, *IASRCVR, *IASAPVA
Interface Manager (applies to PSD only)	<ul style="list-style-type: none"> • Any other role 	*IASDUOA, *IASDUOB, *IASBUYA, *IASBUYB, *IASRCVR, *IASAPVA, *IASAPVB
Payment Status Reviewer (applies to APB only)	<ul style="list-style-type: none"> • Anything other than Purchasing Specialist / Contracting Officer / Contracting Manager, PVND Requestor , or Obligation Error Manager 	*IASBUYA, *IASBUYB, *IASRCVR